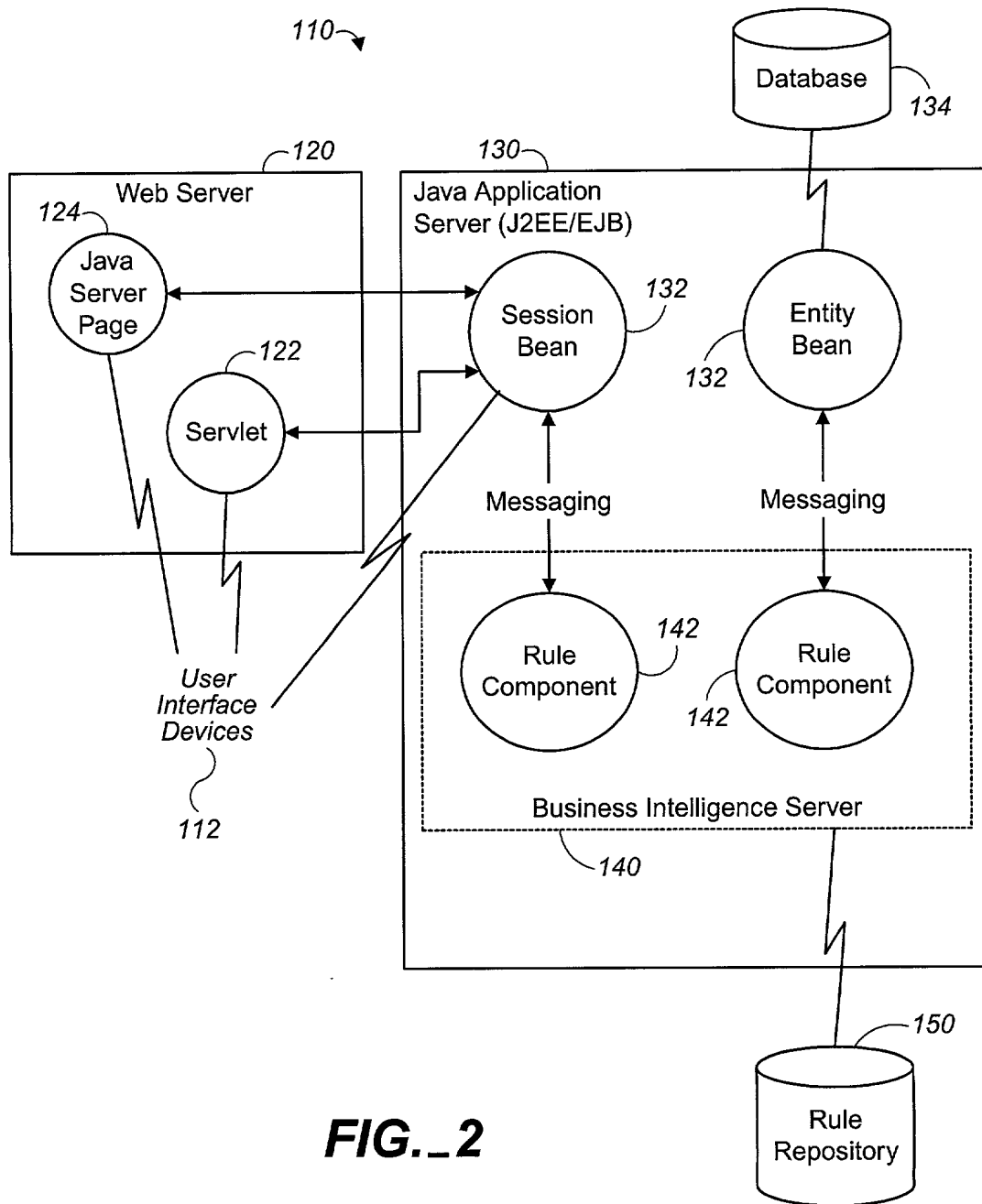
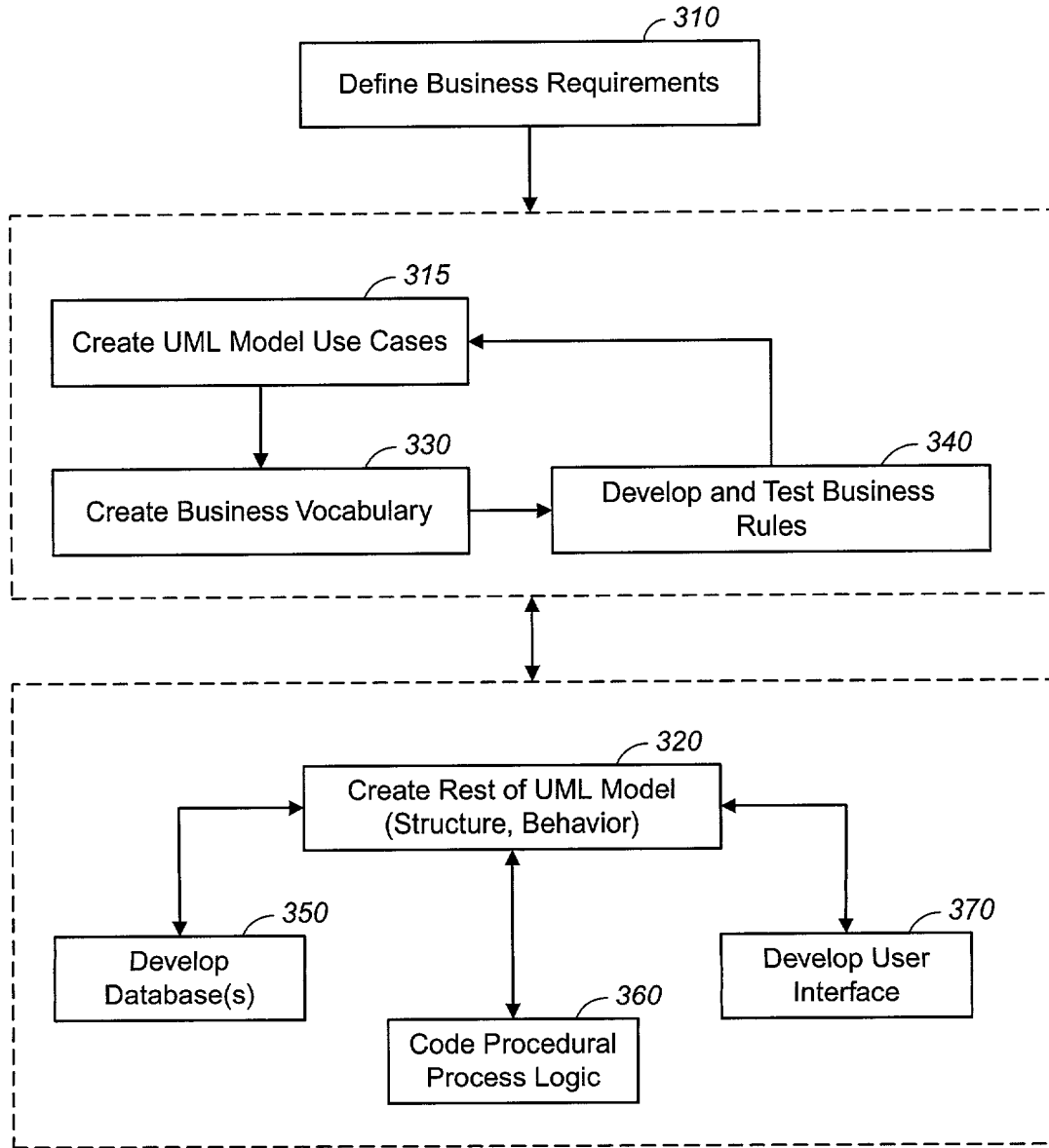
**FIG.\_1**



**FIG.\_3**

4 / 13

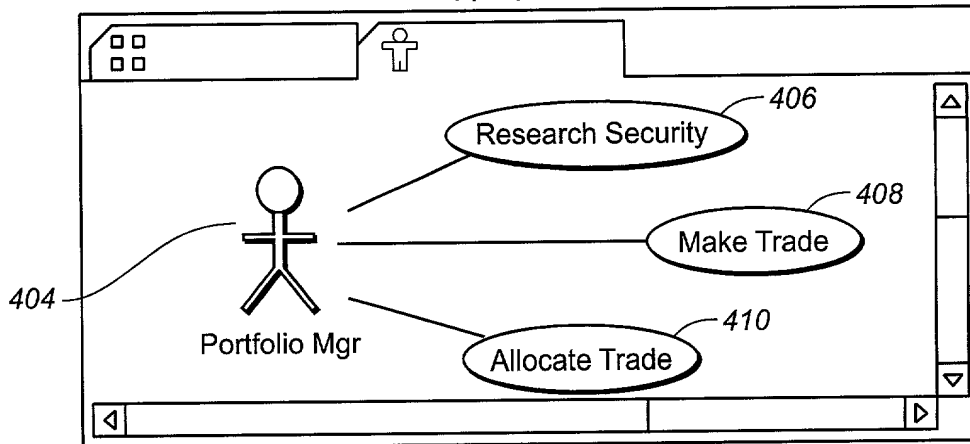


FIG.\_4

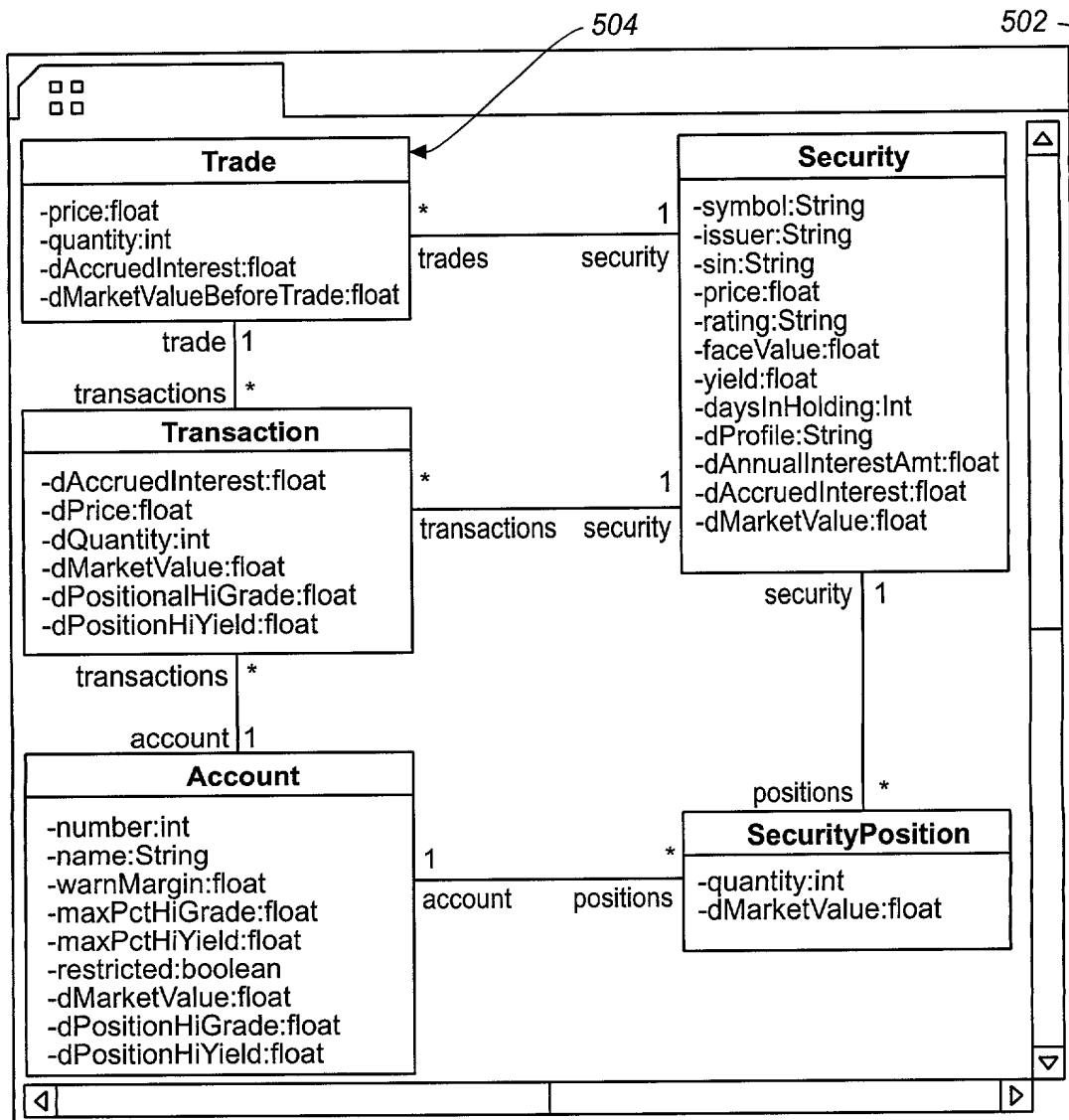


FIG.\_5



FIG. 7 is a screenshot of a software interface for defining security rules. The interface is divided into several sections:

- Vocabulary (704):** A list of terms and their corresponding symbols, including 'Account', 'number', 'name', 'margin', 'maxPctHiGrade', 'maxPctHiYield', 'restricted', 'dMarketValue', 'dPositionHiGrade', 'dPositionHiYield', 'dNewMarketValue', 'dNewPositionHiGrade', 'dNewPositionHiYield', 'dPctHiGrade', and 'dPctHiYield'.
- Shortcuts (722):** A table mapping terms to shortcuts:
 

Term	Alias
1 Account	&anchor
2 positions	&position
3 &position.security	&security
- Preconditions (734):** A section for defining preconditions, currently empty.
- Rules (non-conditional) (724):** A section for defining rules, currently empty.
- Rules (728):** A table for defining rule actions and overrides:
 

Conditions	Values	Actions	Overrides
1 &security.dProfile	{ 'HI-GRD', 'HI-YLD' }	dPositionHiGrade = dPositionHiGrade + &position.dMarketValue	
2		dPositionHiYield = dPositionHiYield + &position.dMarketValue	
- Rule Statements (732):** A section for defining the rule's logic, currently empty.

**FIG. 7**

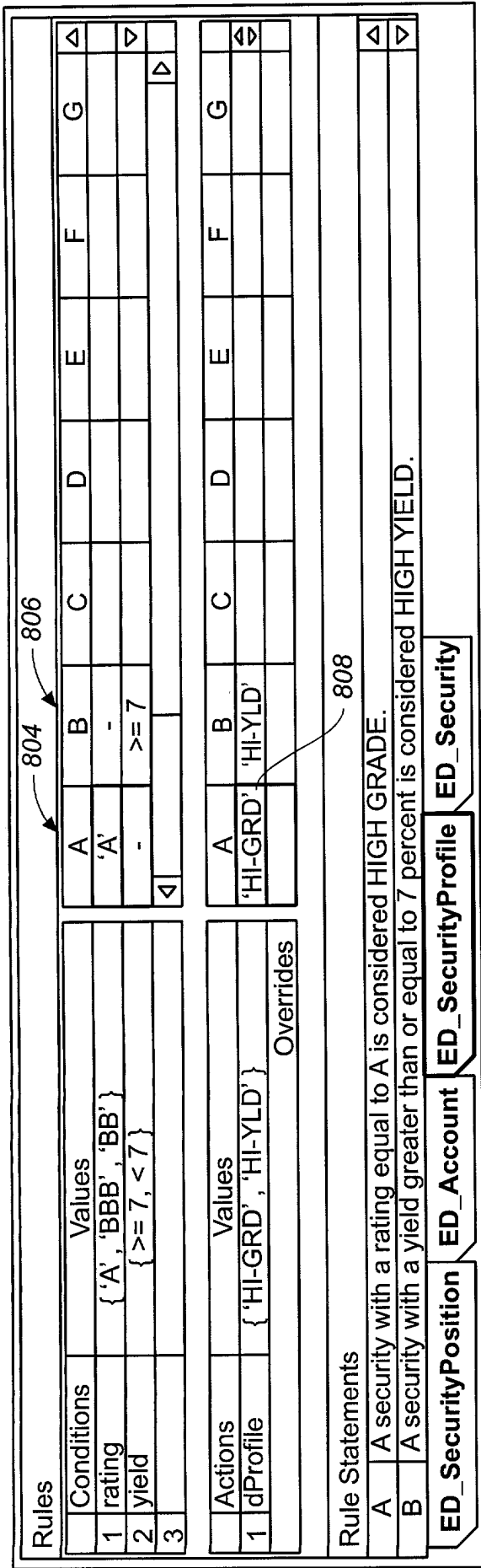
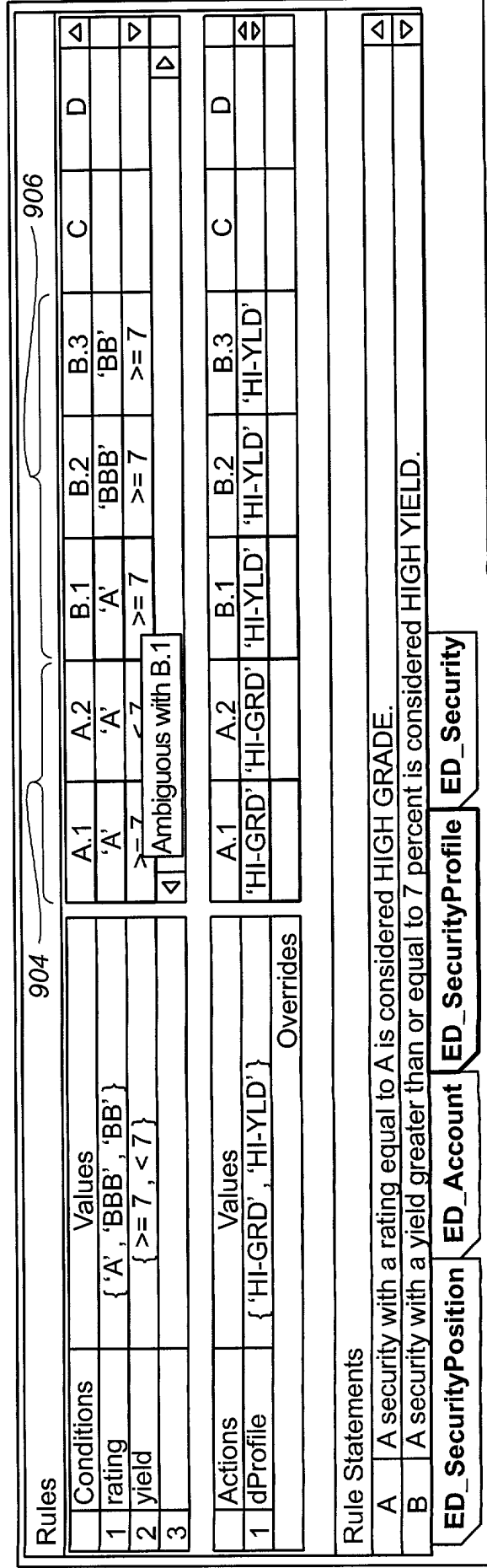


FIG. 8

FIG. 9



Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
		A	B	C	D	E	F	G	Δ
		'A'	-	'BBB'	'BB'				
		-	>= 7	< 7	< 7				▽
		Δ							▷
1006									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD' }							
		→ Overrides							
		1004							
Rule Statements									
		Δ▷							
A		A security with a rating equal to A is considered HIGH GRADE.							
B		A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.							

FIG.\_10

FIG.\_11

Rules											
Conditions		Values									
1	rating	{ 'A', 'BBB', 'BB' }									
2	yield	{ >= 7, < 7 }									
3											
		A	B	C	D	E	F	G	△		
		'A'	-	'BBB'	'BB'						
		-	>= 7	< 7	< 7				▽		
		4									▷
		A	B	C	D	E	F	G			
		'HI-GRD'	'HI-YLD'	'DOG'	'DOG'				◀▶		
		2									
Rule Statements											
		A	A security with a rating equal to A is considered HIGH GRADE.								△
		B	A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.								
		C	A security with a rating lower than A and a yield lower than 7 is a DOG.								▽
ED_SecurityPosition		ED_Account			ED_SecurityProfile			ED_Security			



1204

Rules									
	Conditions	Values	A	B	C	D	E	F	G
1	rating	{ 'A', 'BBB', 'BB' }	'A'	-	{ 'BBB', 'BB' }				
2	yield	{ >= 7, < 7 }	-	>= 7	< 7				
3			<						>

	Actions	Values	A	B	C	D	E	F	G
1	dProfile	{ 'HI-GRD', 'HI-YLD', 'DOG' }	'HI-GRD'	'HI-YLD'	'DOG'				
		Overrides	2						

Rule Statements	
1	A security with a rating equal to A is considered HIGH GRADE.
2	A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.
3	A security with a rating lower than 1 and a yield lower than 7 is a Dog

ED\_SecurityPosition

ED\_Account

ED\_SecurityProfile

ED\_Security

FIG. 12



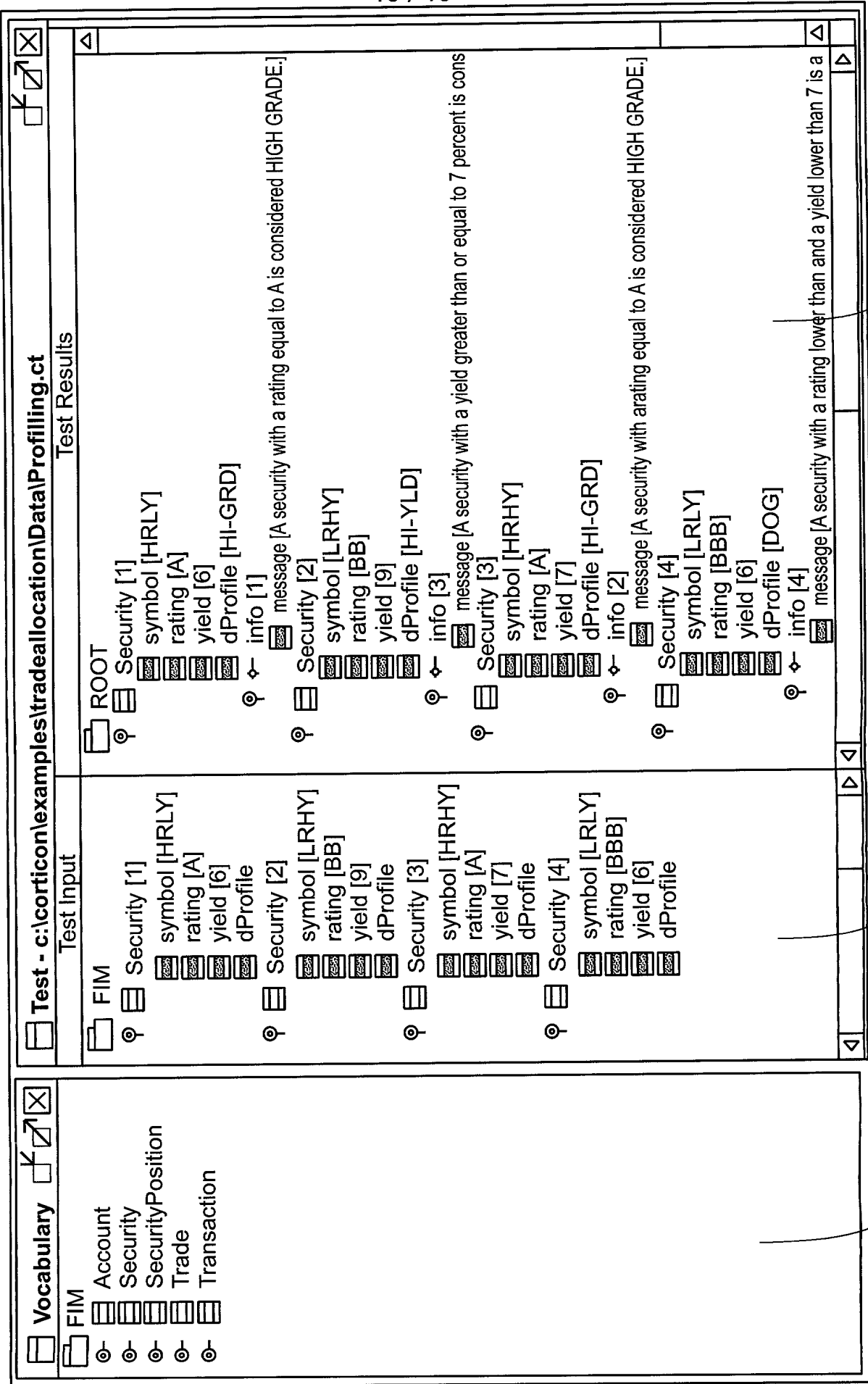


FIG. 13





1802

Constraint Rules										
Preconditions										
1.										
2.										
3.										
Conditions										
1	[ConstraintCondition1]	A	B	C	D	E	F	G		
2	[ConstraintCondition2]		X							
3										
Constraint Category		V	W							
Overrides										

1804

1806180818101812

FIG. 18